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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee Office Use Only 1. NAME OF **USE FEC MAILING LABEL** Example: If typing, type COMMITTEE (in full) OR TYPE OR PRINT over the lines Securities Industry and Financial Markets Association Political Action Committee 1101 New York Avenue, NW ADDRESS (number and street) 8th Floor Check if different than previously Washington DC 20005 reported. (ACC) FEC IDENTIFICATION NUMBER **STATE** ZIPCODE 🛋 CITY A IS THIS NEW **AMENDED** C00431312 Χ REPORT OR (N) (A) **TYPE OF REPORT** (b) Monthly Nov 20 (M11) Feb 20 (M2) May 20 (M5) Aug 20 (M8) (Non-Election Year Only) Report (Choose One) Due On: Dec 20 (M12) (Non-Election Year Only) Mar 20 (M3) Jun 20 (M6) Sep 20 (M9) (a) Quarterly Reports: Apr 20 (M4) Jul 20 (M7) Oct 20 (M10) Jan 31 (YE) April 15 Quarterly Report(Q1) 12-Day (c) Primary (12P) General (12G) Runoff (12R) July 15 PRE-Election Quarterly Report(Q2) Report for the: Convention (12C) Special (12G) October 15 Quarterly Report(Q3) January 31 Quarterly Report(YE) in the Election on State of July 31 Mid-Year (d) 30-Day Report(Non-election Year Only) (MY) Runoff (30R) Post -Election General (30G) Special (30S) Report for the: Termination Report (TER) in the Election on State of 04 0 1 2008 04 30 2008 through Covering Period I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete. Richard J. Hunt Type or Print Name of Treasurer Electronically Filed by Richard J. Hunt 05 20 2008 Signature of Treasurer Date NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g. Office **FEC FORM 3X** Use (Rev. 12/2004) Only

FE6AN026

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

OF RECEIPTS AND DISBURSEMENTS

Page 2

	0 1 Y Y W Y 2 0 0 8	To: 0 4 3 0 7 7 7 7 8
	COLUMN A This Period	COLUMN B Calendar Year-to-Date
. (a) Cash on Hand January 1		208009.19
(b) Cash on Hand at Begining of Reporting Period	121904.50	
(c) Total Receipts (from Line 19)	64626.32	129928.96
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	186530.82	337938.15
. Total Disbursements (from Line 31)	28350.64	179757.97
Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	158180.18	158180.18
. Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D)	0.00	
O. Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D)	0.00	

For further information contact:

Federal Election Commission 999 E street, NW Washington, DC 20463

> Toll Free 800-424-9530 Local 202-694-1100

DETAILED SUMMARY PAGE OF RECEIPTS

FEC Form 3X (Rev. 06/2004) Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
Contributions (other than loans) From: (a) Individuals/Persons Other		
Than Political Committees (i) Itemized (use Schedule A)	55850.00	91100.00
(ii) Unitemized	1276.32	1328.96
(iii) TOTAL (add Lines 11(a)(i) and (ii)	57126.32	92428.96
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)(d) Total Contributions (add Lines	5000.00	35000.00
11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	62126.32	127428.96
Transfers From Affiliated/Other Party Committees	0.00	0.00
3. All Loans Received	0.00	0.00
Loan Repayments Received Offsets To Operating Expenditures	0.00	0.00
(Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	0.00	0.00
to Federal candidates and Other Political Committees	2500.00	2500.00
7. Other Federal Receipts (Dividends, Interest, etc.)	0.00	0.00
8. Transfers from Non-Federal and Levin F	unds	
(a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
9. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	64626.32	129928.96
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	64626.32	129928.96

23.

DETAILED SUMMARY PAGE

FEC Form 3X (Rev. 02/2003)

II. DISBURSEMENTS

(a) Shared Federal/Non-Federal Activity (from Schedule H4)

(b) Other Federal Operating

22. Transfers to Affiliated/Other Party

Contributions to

24. Independent Expenditure

27. Loans Made..... 28. Refunds of Contributions To:

(c) Total Operating Expenditures

Individuals/Persons Other

(b) Political Party Committees (c) Other Political Committees

(d) Total Contribution Refunds

(a) Shared Federal Election Activity

(i) Federal Share

(ii) "Levin" Share (b) Federal Election Activity Paid Entirely

With Federal Funds (c) Total Federal Election Activity (add

23, 24, 25, 26, 27, 28(d), 29 and 30(c))..

(subtract Line 21(a)(ii) and Line 30(a)(ii)

32. Total Federal Disbursements

from Line 31).....

Lines 30(a)(i), 30(a)(ii) and 30(b))....

(from Schedule H6)

Than Political Committees

21. Operating Expenditures:

of Disbursements Page 4 **COLUMN A COLUMN B Total This Period** Calendar Year-to-Date 0.00 0.00 (i) Federal Share..... 0.00 0.00 (ii) Non-Federal Share..... 350.64 757.97 Expenditures..... 350.64 757.97 (add 21(a)(i), (a)(ii) and (b))............ 0.00 0.00 Committees..... Federal Candidates/Committees.....and Other Political Committees..... 28000.00 179000.00 0.00 0.00 0.00 0.00 0.00 0.00 26. Loan Repayments Made..... 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 (such as PACs) 0.00 0.00 (add Lines 28(a), (b), and (c)) 0.00 0.00 29. Other Disbursements..... 30. Federal Election Activity (2 U.S.C 431(20)) 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 31. Total Disbursements (add Lines 21(c), 22, 28350.64 179757.97

28350.64

179757.97

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F	F	: Δ	N	2

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

	III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33.	Total Contributions (other than loans) from Line 11(d), page 3)	62126.32	127428.96
84.	Total Contribution Refunds (from Line 28(d))	0.00	0.00
35.	Net Contributions (other than loans) (subtract Line 34 from Line 33)	62126.32	127428.96
86.	Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	350.64	757.97
37.	Offsets to Operating Expenditures (from Line 15, page 3)	0.00	0.00
88.	Net Operating Expenditures (subtract Line 37 from Line 36)	350.64	757.97

FE6AN026

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS	λ)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 6 / 22 (check only one)
Any information copied from such Reports an or for commercial purposes, other than using	nd Statements may the name and add	not be sold or used by any persidress of any political committee to	on for the purpose of soliciting contributions
NAME OF COMMITTEE (In Full) Securities Industry and Financial M	larkets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Mr William A. Johnstone			Date of Receipt
Mailing Address 219 3rd Avenue No	rth		0 4 0 3 2 0 0 8
City	State	Zip Code	Transaction ID: 15241503
Great Falls FEC ID number of contributing federal political committee.	C	59401	Amount of Each Receipt this Period 2500.00
Name of Employer Davidson Companies	Occupation Presiden		
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 2500.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Arthur F Grant			Date of Receipt
Mailing Address 4599 Widgeon Path	1		04 03 7 2008
City Manlius	State NY	Zip Code 13104	Transaction ID: 15241505
FEC ID number of contributing federal political committee.	C	13104	Amount of Each Receipt this Period 3500.00
Name of Employer Cadaret, Grant & Co., Inc.	Occupation President		
Receipt For: Primary General Other (specify) ▼		Year-to-Date ▼ 3500.00	Contribution
Full Name (Last, First, Middle Initial) Ms. Blythe S.J. Masters			Date of Receipt
Mailing Address 150 Reade Street			M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City New York	State NY	Zip Code 10013	Transaction ID: 15241507
FEC ID number of contributing federal political committee.	C	10013	Amount of Each Receipt this Period 5000.00
Name of Employer J.P. Morgan Securities In- c.	Occupation Global H		
Receipt For: Primary General Other (specify)	Aggregate	Year-to-Date ▼ 5000.00	Contribution
SUBTOTAL of Receipts This Page (optiona	<u>I</u>		11000.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 7 / 22 (check only one) X 11a
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	Statements may not be sold or used by any perse name and address of any political committee to kets Association Political Action Commit	
Full Name (Last, First, Middle Initial) Mr. Craig Messinger Mailing Address 50 Calais Road		Date of Receipt
City	State Zip Code	0 4 0 8 2 0 0 8 Transaction ID: 15250834
<u>Mendham</u>	NJ 07945-2207	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer Pershing LLC Receipt For:	Occupation Managing Director Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1000.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Michael J Esser		Date of Receipt
Mailing Address 201 Progress Parkwa		04 08 2008
City	State Zip Code	Transaction ID: 15252277
Maryland Heights FEC ID number of contributing federal political committee.	MO 63043-3003	Amount of Each Receipt this Period 5000.00
Name of Employer Edward Jones	Occupation Partner	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	Contribution
Full Name (Last, First, Middle Initial) Mr. James Weddle	1	Date of Receipt
Mailing Address 121 Plant Avenue		0 4 D D 7 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City Webster Groves	State Zip Code MO 63119-3046	Transaction ID: 15253226 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	5000.00
Name of Employer Edward Jones	Occupation General Partner	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	Contribution
SUBTOTAL of Receipts This Page (optional) .		11000.00

Π	CHEDULE A (FEC Form 3X) FEMIZED RECEIPTS ny information copied from such Reports and S	Statements ma	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 8 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 11
	r for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	e name and ad	dress of any political committee to	o solicit contributions from such committee.
Z	Full Name (Last, First, Middle Initial)			
۱.	Mr. Bob Ciapciak Mailing Address 9851 Waterbury Drive)		Date of Receipt 0 4 0 7 2 0 0 8
	City	State	Zip Code	0 4 0 7 2 0 0 8 Transaction ID: 15253457
	St. Louis	MO	63124	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		5000.00
	Name of Employer Edward Jones	Occupation Partner	n	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 5000.00	Contribution
. –	Full Name (Last, First, Middle Initial) Mr. Donald Taylor Mailing Address 110 W. Favetta Street			Date of Receipt
	Mailing Address 110 W. Fayette Street			04 09 2008
	City	State	Zip Code	Transaction ID: 15287572
	Syracuse	NY	13202-1324	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		750.00
	Name of Employer Cadaret, Grant & Co., Inc.	Occupation OFO and	n d Treasurer	
	Receipt For: Primary General Other (specify)	Aggregate	e Year-to-Date ▼ 750.00	Contribution
_	Full Name (Last, First, Middle Initial) Beda Lee Johnson			Date of Receipt
	Mailing Address 52 Tamarack Road			04 09 2008
	City	State	Zip Code	Transaction ID: 15288449
	Andover FEC ID number of contributing federal political committee.	C	07821	Amount of Each Receipt this Period 1000.00
	Name of Employer Cadaret, Grant & Co., Inc.	Occupation Senior V		
	Receipt For: Primary General Other (specify)	 	e Year-to-Date ▼ 1000.00	Contribution
	SUBTOTAL of Receipts This Page (optional)			6750.00

SCHEDULE A (FEC Form 3 ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 9 / 22 (check only one) X		
or for commercial purposes, other than usin	and Statements may not be sold or used by any per g the name and address of any political committee	to solicit contributions from such committee.		
Securities industry and Financial i	Markets Association Political Action Comm	ittee		
Full Name (Last, First, Middle Initial) Mr. Mike E. Arnold		Date of Receipt		
Mailing Address 4997 Skyline Drive		04 / 09 / 2008		
City Syracuse	State Zip Code NY 13215	Transaction ID: 15288552 Amount of Each Receipt this Period		
FEC ID number of contributing federal political committee.	C	250.00		
Name of Employer Cadaret, Grant & Co., Inc.	Occupation Assit. VP			
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	Contribution		
Full Name (Last, First, Middle Initial) Mr. Ronald DeCicco		Date of Receipt		
Mailing Address 15 Eagles Notch D	Mailing Address 15 Eagles Notch Drive			
City	State Zip Code	0 4 0 9 2 0 0 8 Transaction ID: 15288905		
Englewood	NJ 07631-5059	Amount of Each Receipt this Period		
FEC ID number of contributing federal political committee.	C	250.00		
Name of Employer Pershing LLC	Occupation CAO			
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	Contribution		
Full Name (Last, First, Middle Initial) Mr. Francis J. LaSalla		Date of Receipt		
Mailing Address 1170 Bridge Pointe		04 09 2008		
City	State Zip Code	Transaction ID: 15332606		
Yorktown Heights	NY 10598-6205	Amount of Each Receipt this Period		
FEC ID number of contributing federal political committee.	C	500.00		
Name of Employer Pershing LLC	Occupation Managing Director			
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	Contribution		
CURTOTAL of Descripto This Descriptor	al)	1000.00		

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 10 / 22 (check only one) X
Any information copied from such Reports and or for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar			
Full Name (Last, First, Middle Initial)			
Ms. Christina M Martin Mailing Address 707 Chalfonte Drive			Date of Receipt 0 4 2 2 2 2 0 0 8
City	State	Zip Code	0 4 2 2 2 0 0 8 Transaction ID: 15356836
Alexandria	VA	22305	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		2000.00
Name of Employer Securities Industry and Financial Mark	Occupatio Senior M	n lanaging Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 2000.00	Contribution
Full Name (Last, First, Middle Initial) Mr. J. Scott DeFife	1		Date of Receipt
Mailing Address 1915 North Johnson S	Street		04 22 2008
City	State	Zip Code	Transaction ID: 15356837
<u>Arlington</u>	VA	22207	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		2500.00
Name of Employer Securities Industry and Financial Mark	- · ·	iging Director	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 2500.00	Contribution
Full Name (Last, First, Middle Initial) Ms. Norlyn Poto			Date of Receipt
Mailing Address 34 Woodside Drive			04 23 7 2008
City	State	Zip Code	Transaction ID: 15356847
Rockaway	NJ	07866	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		750.00
Name of Employer Cadaret, Grant & Co., Inc.	Occupatio Sr. VP	n	
Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 750.00	Contribution
SUBTOTAL of Receipts This Page (optional) .			5250.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 11 / 22 (check only one) X
Any information copied from such Reports and S or for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark			
Full Name (Last, First, Middle Initial) Mr. Anthony R. Capo Mailing Address 10 Pheasant Drive City	State	Zip Code	Date of Receipt M
Marlboro	NJ	07746-1813	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	07740 1010	250.00
Name of Employer Pershing LLC Receipt For: Primary General Other (specify) ▼	, ' 	n g Director e Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Ms. Lucille Mayer Mailing Address 25 Castle Court	1		Date of Receipt M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State	Zip Code	Transaction ID: 15356894
Randolph	NJ	07869-2024	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		250.00
Name of Employer Pershing LLC Receipt For: Primary General Other (specify) ▼	, '	n g Director e Year-to-Date ▼ 250.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Mark Tibergien	1		Date of Receipt
Mailing Address 200 Chambers Street Number 28F	20. 1	7: 0 :	04 21 2008
City New York	State NY	Zip Code 10007-1131	Transaction ID: 15356904
FEC ID number of contributing federal political committee.	C	10007-1131	Amount of Each Receipt this Period 250.00
Name of Employer Pershing LLC	Occupation CEO	n	
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 250.00	Contribution
SUBTOTAL of Receipts This Page (optional)			750.00

	SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 12 / 22 (check only one) X 11a 11b 11c 12 13 14 15 16 17
,	Any information copied from such Reports and Sor for commercial purposes, other than using the	Statements may e name and add	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	kets Associat	tion Political Action Committ	tee
۷.	Full Name (Last, First, Middle Initial) Mr. T. Timothy Ryan			Date of Receipt
	Mailing Address 120 East 79th Street	0 4		
	City	State	Zip Code	Transaction ID: 15356905
	New York	NY	10075-0319	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		5000.00
	Name of Employer Securities Industry and Financial Mark	Occupation CEO	n	
	Receipt For:	Aggregate	Year-to-Date ▼	
	Primary General Other (specify) ▼		5000.00	Contribution
_ 3.	Full Name (Last, First, Middle Initial) Mr. Ted Bragg			Date of Receipt
•	Mailing Address 471 Heights Road			M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 15356912
	Ridgewood	NJ	07450-1511	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		1000.00
	Name of Employer Pershing LLC	Occupation Managing	n g Director	
	Receipt For:	Aggregate	e Year-to-Date ▼	
	Primary General Other (specify) ▼		1000.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Scott W. Munroe			Date of Receipt
	Mailing Address 3001 Majestic Oaks Li	ane		M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 15356915
	Saint Charles	IL	60174-7960	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		250.00
	Name of Employer Pershing LLC	Occupation Managing	n g Director	
	Receipt For: Primary General	Aggregate	Year-to-Date ▼	Contribution
_	Other (specify) ▼		250.00	
	SUBTOTAL of Receipts This Page (optional)			6250.00

	CHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 13 / 22 (check only one) X 11a
P C	ny information copied from such Reports and S r for commercial purposes, other than using the	Statements may e name and add	y not be sold or used by any persodress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Mar	kets Associa	tion Political Action Commit	tee
<u>/_</u>	Full Name (Last, First, Middle Initial) Mrs. Jane F. Coppens			Date of Receipt
	Mailing Address 240 Mountain Avenue	•		04 14 2008
	City Caldwell	State NJ	Zip Code 07006-4010	Transaction ID: 15356918 Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	07000 4010	250.00
	Name of Employer Pershing LLC	Occupatio	n g Director	
	Receipt For: Primary General Other (specify) ▼	_ '	e Year-to-Date ▼ 250.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Kevin McGuire			Date of Receipt
	Mailing Address One Pennock Road			0 4 2 5 2 0 0 8
	City	State	Zip Code	Transaction ID: 15377119
	Ashland	MA	01721-1480	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		5000.00
	Name of Employer Loomis, Sayles & Company, L.P.	Occupatio Global H		
	Receipt For:	Aggregate	e Year-to-Date ▼	
	Primary General Other (specify) ▼	0 0	5000.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Brian T. Shea			Date of Receipt
	Mailing Address 190 Whitehall Blvd.			04 25 2008
	City	State	Zip Code	Transaction ID: 15377124
	Garden City	NY	11530-1338	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		2500.00
	Name of Employer Pershing LLC	- ·	t and COO	
	Receipt For: Primary General Other (specify) ▼	Aggregate	e Year-to-Date ▼ 2500.00	Contribution
	SUBTOTAL of Receipts This Page (optional) .			7750.00

SCHEDULE A (FEC Form 3X ITEMIZED RECEIPTS)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 14 / 22 (check only one)
Any information copied from such Reports and or for commercial purposes, other than using	d Statements may	y not be sold or used by any persidress of any political committee to	on for the purpose of soliciting contributions
NAME OF COMMITTEE (In Full) Securities Industry and Financial Ma		•	
Full Name (Last, First, Middle Initial) Bonnie Gee			Date of Receipt
Mailing Address 52 Tamarack Road			0 4 2 8 2 0 0 8
City	State	Zip Code	Transaction ID: 15392732
Andover FEC ID number of contributing federal political committee.	NJ C	07821	Amount of Each Receipt this Period 300.00
Name of Employer Cadaret, Grant & Co., Inc.	Occupation Vice Pres		
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 300.00	Contribution
Full Name (Last, First, Middle Initial) Peter Grifo			Date of Receipt
Mailing Address 7573 Firebird Lane			04 28 2008
City	State NY	Zip Code	Transaction ID: 15392733
Manlius FEC ID number of contributing federal political committee.	C	13104	Amount of Each Receipt this Period 300.00
Name of Employer Cadaret, Grant & Co., Inc.	Occupation Vice Pres		
Receipt For: Primary General Other (specify) ▼	- 	e Year-to-Date ▼ 300.00	Contribution
Full Name (Last, First, Middle Initial) Mr. Kevin J. Fedigan			Date of Receipt
Mailing Address 55 W. 25th Street Apt. 28C			0 4 2 8 2 0 0 8
City New York	State NY	Zip Code 10010-2087	Transaction ID: 15393793 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	10010-2007	500.00
Name of Employer Pershing LLC	Occupation Managing	n g Director	
Receipt For: Primary General Other (specify)		Year-to-Date ▼ 500.00	Contribution
SUBTOTAL of Receipts This Page (optional))		1100.00

A.

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 15 / 22 (check only one) X
Any information copied from such Reports and or for commercial purposes, other than using the			
NAME OF COMMITTEE (In Full)			
Securities Industry and Financial Mai	kets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Mr. G. Douglas Edwards			Date of Receipt
Mailing Address 3999 Grandview Aver	nue		04 28 2008
City	State	Zip Code	Transaction ID: 15393930
Memphis	TN	38111-7609	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		5000.00
Name of Employer Morgan Keegan & Company, Inc.	Occupatio CEO	n	
Receipt For: Primary General Other (specify) ▼		e Year-to-Date ▼ 5000.00	Contribution

SUBTOTAL of Receipts This Page (optional)	>	5000.00
TOTAL This Period (last page this line number only)	•	55850.00

	SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 16 / 22 (check only one) 11a 11b 11c 12 13 14 15 X 16 17
	Any information copied from such Reports and Stat or for commercial purposes, other than using the national NAME OF COMMITTEE (In Full)	tements may ame and add	y not be sold or used by any perso dress of any political committee to	n for the purpose of soliciting contributions solicit contributions from such committee.
	Securities Industry and Financial Market	s Associa	tion Political Action Committe	ee
Α.	Full Name (Last, First, Middle Initial) The Elizabeth Dole Committee			Date of Receipt
	Mailing Address Post Office Box 2918			04 / 03 / 2008
	City	State	Zip Code	Transaction ID: 15241563
	Raleigh	NC	27602	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C C0	0369140	1500.00
	Name of Employer	Occupatio	n	
	Receipt For: 2008 X Primary General Other (specify)	Aggregate	Year-to-Date ▼ 1500.00	Refund
В.	Full Name (Last, First, Middle Initial) Mark Pryor For Us Senate			Date of Receipt
	Mailing Address Post Office Box 2720			04 08 2008
	City	State	Zip Code	Transaction ID: 15260573
	Little Rock	AR	72203	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C CO	0366401	1000.00
	Name of Employer	Occupatio	n	
	Receipt For: 2008 X Primary General Other (specify)	Aggregate	Year-to-Date ▼ 1000.00	Refund

SUBTOTAL of Receipts This Page (optional)	•	2500.00
TOTAL This Period (last page this line number only)	•	2500.00

	CHEDULE A (FEC Form 3X) EMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	(chec	LINE ck only 11a 13	_	· -	X 11	с [17 / 22 12 16	<u> </u>
	ny information copied from such Reports and State for commercial purposes, other than using the nar										
\setminus	NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets	Associat	tion Political Action Committe	ee							
	Full Name (Last, First, Middle Initial) Edward Jones PAC Mailing Address 12555 Manchester Road				ate of	/	0 7	7	2	0 0 8	
	City St. Louis	State MO	Zip Code 63131				n ID: 1 Each R			Poriod	
	FEC ID number of contributing federal political committee.		0410407		mount	011	Laciiii	eceip	-	00.00	
	Name of Employer	Occupation	1								
	Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 5000.00	Co	ntribu	utio	n				

SUBTOTAL of Receipts This Page (optional)	•	5000.00
TOTAL This Period (last page this line number only)	•	5000.00

В.

Senate

District:

President

age# 20991037040				
SCHEDULE B (FEC Form 3X)	Use separate schedule	e(s) (check or	E NUMBER:	PAGE 18/22
ITEMIZED DISBURSEMENTS	for each category of th Detailed Summary Pag	e	22 23 28b	24 25 26 28c 29 30b
Any Information copied from such Reports and State or for commercial purposes, other than using the nar				
NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets	Association Political A	Action Committe	ee	
Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW			Transaction ID: 15 Date of Disbursement	
City Washington	State Zip Code DC 20005		Amount of Each Dis	sbursement this Period
Purpose of Disbursement Bank Fees Candidate Name		001 Category/ Type		28.84
Office Sought: Senate President State: Disburs Senate	sement For: Primary Gener Other (specify) ▼	ral	Bank Fees	
Full Name (Last, First, Middle Initial) PNC Bank			Transaction ID: 15 Date of Disburseme	
Mailing Address 1400 K Street, NW			0 4 0 7	2008
City Washington	State Zip Code DC 20005		Amount of Each Dis	sbursement this Period
Purpose of Disbursement Credit Card Fees Candidate Name		001 Category/ Type		321.80
Office Sought: House Disburs	sement For:	· ·	Credit Card Fees	

General

>						0	350.64
<u> </u>							350.64
	<u>*</u>	<u>•</u> [<u> </u>				

Primary

Other (specify)

State:

SCHEDULE B (FEC Form 3X)	Use separate			OR LINE	E NUME	BER:			PAC	GE 19/	22	_
ITEMIZED DISBURSEMENTS	for each categ Detailed Sumr			21b 27	22 286	X 23	3 8b		24 28c	25 29		26
Any Information copied from such Reports and Sta											s	
or for commercial purposes, other than using the r	ame and address of	any political co	mmıt	tee to s	olicit co	ntribution	is fro	m sı	uch co	mmittee		
NAME OF COMMITTEE (In Full)			_									
Securities Industry and Financial Marke	ets Association Po	litical Action	Cor	nmitte	е							
Full Name (Last, First, Middle Initial)					Tra	nsaction	ı ID:	152	5644	.9		_
Roskam For Congress Committee					Dat	e of Disb	ourse	men				
Mailing Address 423 W. Wesley Stree	İ				O ^M	4 M /	^D 0	8	/ L	ž 0 0 8	В	
City		Code			Am	ount of E	ach	Disb	ursen	nent this	Perio	d
Wheaton	IL 60	189					-			1000.0	nn	_
Purpose of Disbursement Contribution			01	1			_	-		1000.0	,,,	
Candidate Name			Cated									
Rep. Peter Roskam			Тур									
	ursement For:	2008			Cor	ıtributio	n					
Senate President		X General										
State: IL District: 06	Other (specify)	▼										
Full Name (Last, First, Middle Initial)					Tro	nsaction	יווי	150	5611	1		
Putnam for Congress Committee						e of Disb		_		•		
Mailing Address Post Office Box 2426						4 ^M /	^D 0	8	/ Y	ž 0 0 8	8 ^Y	
City		Code			Am	ount of E	ach	Disb	ursen	nent this	Perio	d
Bartow	FL 33	831				•		-		0500.0		_
Purpose of Disbursement Contribution			01					-	_	2500.0)U	_
Candidate Name Adam Putnam			Categ Typ									
Senate President	rsement For: X Primary Other (specify)	2008 General			Cor	tributio	n					
State: FL District: 12												
Full Name (Last, First, Middle Initial) 21st Century PAC					Dat	nsactior e of Disb	ourse	men				
Mailing Address 2052 Lake Audubon (Court				0	4 ^M /	^D 0	8	/ L	ž 0 0 8	8 ^Y	
City		Code			Am	ount of E	ach	Disb	ursen	nent this I	Perio	d
Reston	VA 20	191			- [5000.0	00	
Purpose of Disbursement Contribution			01	1			_	-		2300.0		
Candidate Name			Categ									
			Тур									
Office Sought: House Disbrict: District:	Primary Other (specify)	General ▼			Cor	itributio	n					
State. District.						•						_
SUBTOTAL of Disbursements This Page (option	al)				Ļ			_	-	8500.0	0	_
TOTAL This Period (last page this line number of	nly)			•								
6AN026					F	EC Sch	edul	е В (Form	1 3X) (Re	evise	d 0

		Use separate schedule(s)	_	OR LINE neck only	-					GL.	20 / 22	
IT _	EMIZED DISBURSEMENTS	for each category of the Detailed Summary Page			21b 27	22 28a	X	23 28b	\Box	24 28c		25 29	2 3
	y Information copied from such Reports and Stater for commercial purposes, other than using the nam NAME OF COMMITTEE (In Full)	e and address of any politica	al com	nmitt	ee to sol	licit contr							
V	Securities Industry and Financial Markets	Association Political Act	tion (Con	nmittee								
	Full Name (Last, First, Middle Initial) Devin Nunes for Congress Mailing Address PO Box 6545							sburs	_		_	o ŏ 8	Y
	City Visalia	State Zip Code CA 93290				Amou	ınt o	f Each	n Disk	ourser	ment	this Pe	eriod
	Purpose of Disbursement Contribution Candidate Name		_	01 ⁻ ateg							200	00.00	
		ement For: 2008 Primary General Other (specify)	<u> </u>	Тур	e	Contr	ibut	ion					
	Full Name (Last, First, Middle Initial) BEAN PAC Mailing Address 235 Massachusetts Ave	nue NE						sburs	_			o ŏ 8	Y
	City	State Zip Code				Amou	int of	f Each	Dieh	ourcor		this Pe	
	Washington Purpose of Disbursement Contribution	DC 20002		01	1	Amou		Laci	Disc	Juisci		00.00	
	Candidate Name Office Sought: House Senate President State: District:	ement For: Primary General Other (specify) \(\psi\)		ateg Typ	,	Contr	ibut	ion					
	Full Name (Last, First, Middle Initial) Committee for the Preservation of Capital	sm				Trans Date		sburs	emen			V	v 1
	Mailing Address P.O. Box 22614					0 4			2 4	Ĺ	2 (0 ŏ 8	
	City Alexandria	State Zip Code VA 22304				Amou	int o	f Each	n Dist	ourser	-	this Pe	-
	Purpose of Disbursement Contribution Candidate Name		Cá	01 ateg Typ	ory/		0	•			500	00.00	
	Senate President	ement For: Primary General Other (specify)	<u> </u>	. ,,		Contr	ibut	ion					
	State: District:												

ΙT			rate schedule(s)		-OR LII check d	nly one)						
	EMIZED DISBURSEMENTS	for each of Detailed S	category of the Summary Page		21b 27	22 28a	X 2	3 8b	24 28c		25 29	2 3
	y Information copied from such Reports an for commercial purposes, other than using NAME OF COMMITTEE (In Full)											
$ \rangle$	Securities Industry and Financial M	arkets Associatio	n Political Acti	on Co	ommitt	ee						
	Full Name (Last, First, Middle Initial) Pennsylvanians for Kanjorski						of Disk	n ID: 15 ourseme	ent			
	Mailing Address 126 South Frankli	n				0 4	M /	24	/ L	ž	8 Ó 0	Y
	City Wilkes-Barre	State PA	Zip Code 18701			Amou	unt of E	ach Di	sburse	-		-
	Purpose of Disbursement Contribution				11					25	00.00	_
	Candidate Name Rep. Paul E. Kanjorski Office Sought: X House	Disbursement For:	2008		egory/ ype							
	Office Sought: X House Senate President State: PA District: 11	Primary Other (spe	X General			Conti	ributio	n				
	Full Name (Last, First, Middle Initial) Alexander For Senate 2008					1		n ID: 15 ourseme		68		
	Mailing Address P.O. Box 121919					0 ^M 4	M /	^D 2 4	/ Y	ž	0 ŏ 8	Y
	City Nashville	State TN	Zip Code 37212-1919			Amou	unt of E	Each Dis	sburse			
	Nashville Purpose of Disbursement Contribution				11 200rv/	Amou	unt of E	Each Dis	sburse		this Pe	
	Nashville Purpose of Disbursement			Cat	11 egory/ ype	Amou	unt of E	Each Dis	sburse			
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House X Senate President		2008 General	Cat	egory/		unt of E		sburse			
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House X Senate	TN Disbursement For: X Primary	2008 General	Cat	egory/	Conti	ributio		53664	15		
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House X Senate President State: TN District: Full Name (Last, First, Middle Initial)	Disbursement For: X Primary Other (spe	2008 General	Cat	egory/	Conti	ributio	n n ID: 15	53664	15		
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House	Disbursement For: X Primary Other (spe	2008 General	Cat	egory/	Control Transpate	ributio	n ID: 15	53664 ent	15 17 2	00.00 0 0 8 this Pe	Y
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House x Senate President State: TN District: Full Name (Last, First, Middle Initial) Crowley for Congress Mailing Address 84-56 Grand Aver	Disbursement For: X Primary Other (spe	2008	Cat	egory/ ype	Control Transpate	ributio	n ID: 15 ourseme	53664 ent	15 17 2	00.00 0 ŏ 8	Y
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House x Senate President State: TN District: Full Name (Last, First, Middle Initial) Crowley for Congress Mailing Address 84-56 Grand Average City Elmhurst Purpose of Disbursement	Disbursement For: X Primary Other (spe	2008	Cat	egory/ ype	Control Transpate	ributio	n ID: 15 ourseme	53664 ent	15 17 2	00.00 0 0 8 this Pe	Y
	Nashville Purpose of Disbursement Contribution Candidate Name Lamar Alexander Office Sought: House X Senate President State: TN District: Full Name (Last, First, Middle Initial) Crowley for Congress Mailing Address 84-56 Grand Aver City Elmhurst Purpose of Disbursement Contribution Candidate Name Rep Joseph Crowley	Disbursement For: X Primary Other (spe	2008	Cat	egory/ ype	Conti	ributio	n ID: 15 burseme 2 4	53664 ent	15 17 2	00.00 0 0 8 this Pe	Y

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	SCHEDULE B (FEC Form 3X)	Use separate schedule(s)		FOR LINE		PA	PAGE 22 / 22						
	ITEMIZED DISBURSEMENTS	for each catego	ory of the	(check only			¬ ¬ ¬			۱			
		Detailed Summ	nary Page	21b 27	22 28a	X 23 28b	24 28c	Н	25 29		26 30b		
	Annulations and Chalans							مانسلم.			300		
	Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee												
	NAME OF COMMITTEE (In Full)												
	Securities Industry and Financial Markets Association Political Action Committee												
	Full Name (Last, First, Middle Initial)		Transaction ID: 15366694										
Α.	Andre Carson For Congress		Date of Disbursement										
	Mailing Address One North Capitol Street			0 4	^M / ^D 2	4 / Y	ž	0 ŏ 8	Y				
		State Zip (Code 204		Amour	nt of Each	Disburser	ment	t this F	Perio	od		
	Purpose of Disbursement Contribution		011						0				
	Candidate Name Mr. Andre Carson			ategory/ Type									
	President	ment For: Primary Other (specify)	2008 General		Contri	bution							
	State: IN District: 07												
В.	Full Name (Last, First, Middle Initial) Bob Corker For Senate			Transaction ID: 15367538 Date of Disbursement									
	Mailing Address PO Box 848			04									
	<i>y</i>	State Zip 0	Code 401		Amour	nt of Each	Disburser	-			od		
	Purpose of Disbursement 2006 General Debt Retirement		011	2500.00									
	Candidate Name Sen. Robert Corker		Category/ Type										
	Office Sought: House Disburse X Senate President X	ment For: Primary Other (specify)	2006 General		2006 (ent	General I	Debt Ret	iren	n-				

SUBTOTAL of Disbursements This Page (optional)	•	3500.00		
TOTAL This Period (last page this line number only)	•	28000.00		

2006 General Debt Re

State: TN

District: